

## Securities and Exchange Commission

## § 274.219

of the form see paragraph (d) of § 270.27f-1 of this chapter.

[45 FR 17958, Mar. 20, 1980]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form N-27F-1, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

### **§ 274.200 Form N-17D-1, report filed by small business investment company (SBIC) registered under the Investment Company Act of 1940 and an affiliated bank, with respect to investments by the SBIC and the bank, submitted pursuant to paragraph (d)(3) of § 270.17d-1 of this chapter.**

This form shall be filed pursuant to Rule 17d-2 (§ 270.17d-2 of this chapter) as the report required, under subparagraph (d)(3) of Rule 17d-1 (§ 270.17d-1(d)(3) of this chapter), to be filed, either jointly or separately, by a small business investment company (SBIC) licensed as such under the Small Business Investment Act of 1958, and by a bank which is an affiliated person of either the SBIC or of an affiliated person of the SBIC, with respect to investments in a small business concern by the SBIC and the bank.

## **Subpart C—Forms for Other Statements**

### **§ 274.201 Form N-23C-1, statement by registered closed-end investment company with respect to purchases of its own securities pursuant to Rule 23c-1 during the last calendar month.**

This form shall be filed, pursuant to subparagraph (a)(11) of Rule 23c-1 (§ 270.23c-1(a)(11) of this chapter) and section 23(c) of the Investment Company Act of 1940, by a registered closed-end investment company for reporting monthly purchases of securities of which it is the issuer, on or before the tenth day of the calendar month following the month in which the purchase occurs; but no report need be filed for any month in which there have been no such purchases.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form N-23C-1, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

### **§ 274.202 Form 3, initial statement of beneficial ownership of securities.**

This form shall be filed pursuant to Rule 30f-1 (§ 270.30f-1 of this chapter) for initial statements of beneficial ownership of securities required to be filed pursuant to section 30(f) of the Investment Company Act of 1940. (Same as § 249.103 of this chapter.)

### **§ 274.203 Form 4, statement of changes in beneficial ownership of securities.**

This form shall be filed pursuant to Rule 30f-1 (§ 270.30f-1 of this chapter) for statements of changes in beneficial ownership of securities required to be filed pursuant to section 30(f) of the Investment Company Act of 1940. (Same as § 249.104 of this chapter.)

### **§ 274.218 Form N-8F, application for deregistration of certain registered investment companies.**

This form must be used as the application for an order of the Commission in cases in which the applicant is a registered investment company that:

- (a) Has sold substantially all of its assets to another registered investment company or merged into or consolidated with another registered investment company;
- (b) Has distributed substantially all of its assets to its shareholders and has completed, or is in the process of, winding up its affairs;
- (c) Qualifies for an exclusion from the definition of “investment company” under section 3(c)(1) (15 U.S.C. 80a-3(c)(1)) or section 3(c)(7) (15 U.S.C. 80a-3(c)(7)) of the Act; or
- (d) Has become a business development company.

[64 FR 19471, Apr. 21, 1999]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form N-8F, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

### **§ 274.219 Form N-17f-1, cover page for each certificate of accounting of securities and similar investments of a management investment company in the custody of a member of a national securities exchange, filed pursuant to rule 17f-1.**

[54 FR 32049, Aug. 4, 1989]

## § 274.220

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form N-17f-1, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

### **§ 274.220 Form N-17f-2, cover page for each certificate of accounting of securities and similar investments in the custody of a registered management investment company, filed pursuant to rule 17f-2.**

[54 FR 32049, Aug. 4, 1989]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form N-17f-2, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

### **§ 274.221 Form N-23c-3, Notification of repurchase offer.**

Form N-23c-3 shall be filed with copies of notifications of repurchase offers submitted to the Commission as required under rule 23c-3 (§270.23c-3 of this chapter).

[58 FR 19345, Apr. 14, 1993]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form N-23c-3, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

## **Subpart D—Forms for Exemptions**

AUTHORITY: Secs. 6(c), (15 U.S.C. 80a-6(c)), 6(e), (15 U.S.C. 80a-6(e)), 38(a), 15 U.S.C. 80a-37(a) of the Act.

### **§ 274.301 Notification of claim of exemption pursuant to Rule 6e-2 or Rule 6e-3(T) under the Investment Company Act.**

This form shall be filed with the Commission as required by §270.6e-2 or §270.6e-3(T) of this chapter by each insurance company with respect to each separate account for which exemption is claimed pursuant to §270.6e-2 or §270.6e-3(T).

[49 FR 47228, Dec. 3, 1984]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form N-6EI-1, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

## 17 CFR Ch. II (4-1-02 Edition)

### **§ 274.302 Form N-27I-1, notice of right of withdrawal and refund for variable life insurance contractholders required pursuant to Rule 6e-2 (§ 270.6e-2 of this chapter).**

[41 FR 47032, Oct. 27, 1976]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form N-27I-1, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

### **§ 274.303 Form N-27I-2, notice of withdrawal right and statement of charges for variable life insurance contractholders required pursuant to Rule 6e-2 (§ 270.6e-2 of this chapter).**

[41 FR 47032, Oct. 27, 1976]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form N-27I-2, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

## **Subpart E—Forms for Electronic Filing**

SOURCE: 50 FR 40485, Oct. 4, 1985, unless otherwise noted.

### **§ 274.401 Form ET, transmittal form for electronic format documents on magnetic tape or diskette to be filed on the EDGAR system.**

This form shall accompany electronic filings submitted on magnetic tape or diskette under the EDGAR system.

[57 FR 18221, Apr. 29, 1992]

### **§ 274.402 Form ID, uniform application for access codes to file on EDGAR.**

(a) Form ID is to be used by registrants, third party filers, or their agents for the purpose of requesting assignment of access codes to permit filing on EDGAR, as follows:

(1) Central Index Key (CIK)—uniquely identifies each filer, filing agent, and training agent.

(2) CIK Confirmation Code (CCC)—used in the header of a filing in conjunction with the CIK of the filer to ensure that the filing has been authorized by the filer.

(3) Password (PW)—allows a filer, filing agent or training agent to log on to